

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

PQC-199US

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)  
09/700,475

INTERNATIONAL APPLICATION NO.  
PCT/US98/10070

INTERNATIONAL FILING DATE  
15 May 1998 (15.05.98)

PRIORITY DATE CLAIMED  
None

## TITLE OF INVENTION

PEROXIDE, OXYGEN, AND PEROXIDE/OXYGEN BRIGHTENING OF CHEMICAL AND MIXED WASTE  
PULPS

## APPLICANT(S) FOR DO/EO/US

EVANS, Timothy D.  
FRANCIS, Raymond C.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

\* Enclosed are two (2) executed Declarations and Powers of Attorney For Patent Application.

\*\* Enclosed are two (2) Assignments (the Assignment of the above-identified application from Timothy D. Evans to National Silicates Partnership, and the Assignment of the above-identified application from Raymond C. Francis to The Research Foundation of State University of New York).

Copy of Notification of Missing Requirements.

21. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$970.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$840.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$690.00</b> <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$670.00</b> <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$96.00</b> <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<b>CALCULATIONS    PTO USE ONLY</b>  <div style="border: 1px solid black; height: 100px; width: 100%;"></div>																															
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>																															
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:15%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:15%;">RATE</th> <th style="width:20%;"></th> <th style="width:20%;"></th> </tr> <tr> <td>Total claims</td> <td style="text-align: center;">- 20 =</td> <td style="text-align: center;">0</td> <td>x \$18.00</td> <td></td> <td style="text-align: center;"><b>\$0.00</b></td> </tr> <tr> <td>Independent claims</td> <td style="text-align: center;">- 3 =</td> <td style="text-align: center;">0</td> <td>x \$80.00</td> <td></td> <td style="text-align: center;"><b>\$0.00</b></td> </tr> <tr> <td colspan="4" style="padding: 2px;">Multiple Dependent Claims (check if applicable). <input type="checkbox"/></td> <td></td> <td style="text-align: center;"><b>\$0.00</b></td> </tr> <tr> <td colspan="5" style="text-align: right; padding: 2px;"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td style="text-align: center;"><b>\$130.00</b></td> </tr> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			Total claims	- 20 =	0	x \$18.00		<b>\$0.00</b>	Independent claims	- 3 =	0	x \$80.00		<b>\$0.00</b>	Multiple Dependent Claims (check if applicable). <input type="checkbox"/>					<b>\$0.00</b>	<b>TOTAL OF ABOVE CALCULATIONS =</b>					<b>\$130.00</b>	<b>\$130.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																																
Total claims	- 20 =	0	x \$18.00		<b>\$0.00</b>																														
Independent claims	- 3 =	0	x \$80.00		<b>\$0.00</b>																														
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>					<b>\$0.00</b>																														
<b>TOTAL OF ABOVE CALCULATIONS =</b>					<b>\$130.00</b>																														
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>																															
<b>SUBTOTAL =</b>				<b>\$130.00</b>																															
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>																															
<b>TOTAL NATIONAL FEE =</b>				<b>\$130.00</b>																															
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				<b>\$80.00</b>																															
<b>TOTAL FEES ENCLOSED =</b>				<b>\$210.00</b>																															
01/16/2001 HINGUYEN 00000003 09700475 01 FEB 154 130.00 OP				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; text-align: right;">Amount to be: refunded</td> <td style="width:50%; text-align: center;">\$</td> </tr> <tr> <td style="text-align: right;">charged</td> <td style="text-align: center;">\$</td> </tr> </table>		Amount to be: refunded	\$	charged	\$																										
Amount to be: refunded	\$																																		
charged	\$																																		

<input checked="" type="checkbox"/> A check in the amount of <b>\$210.00</b> to cover the above fees is enclosed.  <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.  <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. <b>18-0350</b> A duplicate copy of this sheet is enclosed.	
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.	
SEND ALL CORRESPONDENCE TO:	
<div style="border: 1px solid black; padding: 5px;"> <b>Christopher R. Lewis</b>  <b>RATNER &amp; PRESTIA</b>            Suite 301            One Westlakes (Berwyn)            P.O. Box 980            Valley Forge, PA 19482-0980            (610) 407-0700         </div>	<div style="text-align: right; margin-bottom: 10px;">             _____            SIGNATURE         </div> <div style="text-align: right;"> <b>Christopher R. Lewis</b>            _____            NAME   <b>36,201</b>            _____            REGISTRATION NUMBER   <b>January 11, 2001</b>            _____            DATE         </div>



U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/700,475	EVANS	PBC-19905
5071		INTERNATIONAL APPLICATION NO.
CHRISTOPHER R LEWIS RATNER & PRESTIA SUITE 301 PO BOX 980 ONE WESTLAKES (BERWYN) VALLEY FORGE PA 19482-0980		PCT/US98/10070
		I.A. FILING DATE
		PRIORITY DATE
DATE MAILED: 05/15/98		00/00/00
		12/12/00

### NOTIFICATION OF A DEFECTIVE OATH OR DECLARATION

This application fails to contain an oath or declaration acceptable under 35 U.S.C. 371 (c)(4) for entry into the national stage in the United States of America. The period within which to correct these requirements and avoid abandonment is set in the accompanying Office action.

A new oath or declaration, identifying this application by the international application number and international filing date is required. The oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

1. ☒ is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
2. ☐ does not identify the specification to which it is directed.
3. ☐ does not identify the inventor(s).
4. ☐ does not identify the citizenship of each inventor.
5. ☐ does not state the person making the oath or declaration believes the named inventor or inventors to be the original and first inventor or inventors of the subject matter which is claimed and for which a patent is sought.

FAILURE TO SUBMIT AN OATH OR DECLARATION IN COMPLIANCE WITH 37 CFR 1.497(a) AND (b) WITHIN THE TIME PERIOD SET WILL RESULT IN FAILURE TO ENTER THE NATIONAL STAGE AND THE ABANDONMENT OF THE APPLICATION.

Additionally, the oath or declaration does not comply with 37 CFR 1.63 in that it:

1. ☐ does not identify the city and state or city and foreign country of residence or each inventor.
2. ☐ does not state that the person making the oath or declaration:
  - a. ☐ has reviewed and understands the contents of the specification, including the claims, as amended by any amendment specifically referred to in the oath or declaration.
  - b. ☐ acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
3. ☐ does not identify the foreign application for patent or inventor's certificate on which priority is claimed pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application serial number, country, day, month, and year of its filing.
4. ☐ does not state that the person making the oath or declaration acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and filing date of the continuation in part application which discloses and claims subject matter in addition to that disclosed in the prior application (37 CFR 1.63(d)).

Lemont Hader  
National Stage Processing  
(703) 305-3800

Telephone: 703

<b>RECEIVED</b> DEC 15 2000 <b>RATNER &amp; PRESTIA</b> EVANS		<b>UNITED STATES DEPARTMENT OF COMMERCE</b> <b>Patent and Trademark Office</b> Address: ASSISTANT COMMISSIONER FOR PATENTS Box PCT Washington, D.C. 20231	
U.S. APPLICATION NO.	HA	FIRST NAMED APPLICANT	ATTY. DOCKET NO.

CHRISTOPHER R LEWIS  
 RATNER & PRESTIA  
 SUITE 301 PO BOX 980  
 ONE WESTLAKES (BERWYN)  
 VALLEY FORGE PA 19482-0980

5071

INTERNATIONAL APPLICATION NO. 7/100/70

I.A. FILING DATE: 02/15/99 PRIORITY DATE: 00/00/00

12/12/00

DATE MAILED:

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☐ a Designated Office (37 CFR 1.494),  
☐ an Elected Office (37 CFR 1.495):  
☒ U.S. Basic National Fee.  
☒ Copy of the international application in:  
☐ a non-English language.  
☒ English.

- ☐ Translation of the international application into English.  
☐ Oath or Declaration of inventor(s) for DO/EO/US.  
☐ Copy of Article 19 amendments.  
☐ Translation of Article 19 amendments into English.  
☒ The International Preliminary Examination Report in English and its Annexes, if any.  
☐ Translation of Annexes to the International Preliminary Examination Report into English.  
☐ Preliminary amendment(s) filed \_\_\_\_\_ and \_\_\_\_\_.  
☐ Information Disclosure Statement(s) filed \_\_\_\_\_ and \_\_\_\_\_.  
☐ Assignment document.  
☐ Power of Attorney and/or Change of Address.  
☐ Substitute specification filed \_\_\_\_\_.  
☐ Statement Claiming Small Entity Status.  
☐ Priority Document.  
☒ Copy of the International Search Report ☒ and copies of the references cited therein.  
☐ Other:

*Miss. Req. (1mo.)*  
*1/12/01*  
*mg*

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.  
☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.  
☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).  
☒ c. Oath or declaration of the inventor(s), in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.  
☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.  
☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.  
 5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice *MUST* be returned with this response.**

Enclosed: ☒ PCT/DO/EO/917 ☐ Notice of Defective Translation  
☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

Patent and Trademark Office  
 Telephone: (703) 305-3000  
 (703) 305-3000